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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Atto	rney Docket	t No. <u>005819.P001</u>	~ §
	ximum 12 characters) t Named Inv	rentorJack Zezhong Peng	
Title		ONDUCTOR MEMORY CELL AND MEMORY ARRAY USING A BREAKDOWN PHENOMENA IN	ATT
ULTI	RA-THIN DIE	ELECTRIC	_
Evni	ress Mail I a	abel No. <u>EL861981768US</u>	
ADD	RESS TO:	Assistant Commissioner for Patents Box Patent Application Washington, D. C. 20231	
		ELEMENTS apter 600 concerning utility patent application contents.	
1.	<u>x</u>	Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original, and a duplicate for fee processing)	
2.	<u>x</u>	Applicant Claims Small Entity Status. (37 CFR 1.27)	
3.	<u>x</u>	Specification (Total Pages 30 (preferred arrangement set forth below) - Descriptive Title of the Invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure	
4.	<u> </u>	Drawings(s) (35 USC 113) (Total Sheets <u>15</u>)	
5.	_x_	Oath or Declaration (Total Pages 4_)	
		a. X Newly Executed (Original or Copy)	
		b Copy from a Prior Application (37 CFR 1.63(d)) (for Continuation/Divisional with Box 17 completed)	
		 i <u>DELETIONS OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 	
		c Unsigned.	
6.		Application Data Sheet. (37 CFR 1.76)	•
7.		CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)	
8.	70	Nucleotide and/or Amino Acid Sequence Submission	
	(if applicable a.	e, all necessary) Computer Readable Form (CRF)	
!	b	Specification Sequence Listing on: i CD-ROM or CD-R (2 copies); or ii paper Statement verifying identity of above copies	

9. X Assignment Papers (cover sheet & documents(s)) 10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee) X b. Power of Attorney 11. English Translation Document (if applicable) 12. X a. Information Disclosure Statement (IDS)/PTO-1449 X b. Copies of IDS Citations 13. Preliminary Amendment 14. X Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. X Other: Certificate of malling with copy of return postcard signed by attorney 18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:	9. X Assignment Papers (cover sheet & documents(s)) 10. a. Separate 37 CFR 3.73(b) Statement (where there is an assignee) X b. Power of Attorney 11. English Translation Document (if applicable) 12. X a. Information Disclosure Statement (IDS)/PTO-1449 X b. Copies of IDS Citations 13. Preliminary Amendment 14. X Return Receipt Postcard (MPEP 503) (Should be specifically itemized) 15. Certified Copy of Priority Document(s) (if foreign priority is claimed) 16. Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. X Other: Certificate of mailing with copy of return postcard signed by attorney 18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information: Continuation Divisional Continuation-in-part (CIP) Of Prior Application No.: (which is a continuation/ divisional/ CIP of prior application no. (usus enrice chain of priority) which is a continuation/ divisional/ CIP of prior application no. (usus enrice chain of proority) Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority. Applicant(s): Also include a Preliminary Amendment to amend the specification to claim priority. For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts. 18B. Statement under 37 CFR 3.73(b) for continuing application. The undersigned states that (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. Frame No. (or a copy of which is attached). 19. Correspondence Address Customer Number or Bar Code Label or	ACCOMPANYING APPLICATION PARTS						
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relied upon when a portion has been inadvertently omitted from the submitted application parts. 18B. Statement under 37 CFR 3.73(b) for continuing application: The undersigned states that	relied upon when a portion has been inadvertently omitted from the submitted application parts. 18B. Statement under 37 CFR 3.73(b) for continuing application: The undersigned states that	oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying						
The undersigned states that	The undersigned states that							
The undersigned states that	The undersigned states that	18B. Statement under 37 CFR 3.73(b) for continuing application:						
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19. Correspondence Address Customer Number or Bar Code Label or (Insert Customer No. or Attach Bar Code Label here) X Correspondence Address Below NAME Chun M. Ng BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor	19. Correspondence Address Customer Number or Bar Code Label or (Insert Customer No. or Attach Bar Code Label here) X Correspondence Address Below NAME Chun M. Ng BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor CITY Los Angeles STATE California ZIP CODE 90025-1026 Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606 Name (PRINT/TYPE): Chup M. Ng Registration No.: 36,878	recorded in the Patent and Trademark Office at Reel. No Frame No (or a copy of	11					
Customer Number or Bar Code Label or (Insert Customer No. or Attach Bar Code Label here) X Correspondence Address Below NAME Chun M. Ng BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor	Customer Number or Bar Code Label or (Insert Customer No. or Attach Bar Code Label here) X Correspondence Address Below NAME Chun M. Ng BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor CITY Los Angeles STATE California ZIP CODE 90025-1026 Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606 Name (PRINT/TYPE): Chup M. Ng Registration No.:36,878	which is attached).						
or (Insert Customer No. or Attach Bar Code Label here) X Correspondence Address Below NAME Chun M. Ng BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor	or (Insert Customer No. or Attach Bar Code Label here) X Correspondence Address Below NAME Chun M. Ng BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor CITY Los Angeles STATE California ZIP CODE 90025-1026 Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606 Name (PRINT/TYPE): Chup M. Ng Registration No.: 36,878	19. Correspondence Address	_					
X Correspondence Address Below NAME Chun M. Ng BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor	X Correspondence Address Below NAME Chun M. Ng BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor CITY Los Angeles STATE California ZIP CODE 90025-1026 Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606 Name (PRINT/TYPE): Chup M. Ng Registration No.: 36,878							
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor	BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor CITY Los Angeles STATE California ZIP CODE 90025-1026 Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606 Name (PRINT/TYPE): Chup M. Ng Registration No.: 36,878							
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor	BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP ADDRESS 12400 Wilshire Boulevard Seventh Floor CITY Los Angeles STATE California ZIP CODE 90025-1026 Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606 Name (PRINT/TYPE): Chup M. Ng Registration No.: 36,878	NAME Chun M Ng						
ADDRESS 12400 Wilshire Boulevard Seventh Floor	ADDRESS 12400 Wilshire Boulevard Seventh Floor CITY Los Angeles STATE California ZIP CODE 90025-1026 Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606 Name (PRINT/TYPE): Chup M. Ng Registration No.: 36,878							
Seventh Floor	Seventh Floor CITY Los Angeles STATE California ZIP CODE 90025-1026 Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606 Name (PRINT/TYPE): Chup M. Ng Registration No.: 36,878							
	CITY Los Angeles STATE California ZIP CODE 90025-1026 Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606 Name (PRINT/TYPE): Chup M. Ng Registration No.:	ADDRESS 12400 Wilshire Boulevard						
CITY Los Angeles STATE California ZIP CODE 90025-1026	Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606 Name (PRINT/TYPE): Chup M. Ng Registration No.:	Seventh Floor						
	Name (PRINT/TYPE): Chup M. Ng Registration No.: .36,878	CITY Los Angeles STATE California ZIP CODE 90025-1026						
Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606	2/10/11	Country U.S.A. TELEPHONE (206) 292-8600 FAX (206) 292-8606						
Name (DDINIT/TVDE). Character Many Designation No. 26 979	2/10/11	Name (PRINT/TYPE): Chup M. Ng Registration No.: .36,878						
Name (PRINT/TYPE): Chup W. Ng Registration No30,076		2/10/11						
Name (PRINT/TTPE): Chup M. Ng Registration No., .36,676		2/10/11						

PTO/SB/35(11-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)

First Named Inventor					
Title SEMICONDUC	TOR MEMORY CE	LL AND MEMORY	'ARRAY USING	A BREAKDOWN PHENOM	<u>ENA IN AN</u>
ULTRA-THIN DIELEC	TRIC				
Attorney Docket No	005819.P001				

I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

Signature

Chun M. Ng

Typed or Printed Name

36,878

Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Assistant Commissioner for Patents, Washington, D.C. 20231

PTO/SB/17(11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL FOR FY 2001									
TOTAL AMOUNT OF PAYMENT (\$) \$654.00									
	Complete if Known:								
	Application No. not yet assigned								
	Filing Date herewith First Named Inventor Jack Zezhong Peng								
Group	Art Unit		not	yet assigned					
	ner Name			yet assigned					
	ey Docket			819.P001					
METH	HOD OF P	PAYMEN	NT (che	ck one)					
1.	 [X] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: 								
	Deposit Account Number 02-2666 Deposit Account Name								
	[X]	Charge	Any Ad	ditional Fee	Required Under 37 CFR	1.16 and	1.17		
	[X]	Applica	ant clain	ns small enti	ty status. See 37 CFR 1.2	27			
2.	_X	Payme	nt Enclo	sed: <u>X</u>	Check Credit Card Money Order Other				
FFF (CALCULA	TION							
	JALOULA								
1.	BASIC FI	ILING F	EE						
Large	Entity	Small E	Entity						
Fee	Fee	Fee	Fee					5 5 1	
Code 101	(\$) 710	Code 201	(\$) 355	Fee Descri	<u>ption</u> ication filing fee			Fee Paid 355.00	
106	320	206	160		olication filing fee				
107	490	207	245	Plant filing	fee				
108	710	208	355	Reissue fil					
114	150	214	75	Provisiona	l application filing fee				
						SUBT	OTAL (1)	355.00	
2.	EXTRA C	CLAIM F	EES				Fee from		
					Extra Claims		<u>below</u>	Fee Paid	
Total	Claims	31				X	9.00	= 99.00	
Indep	endent C	laims	7	- 3** =	4	X	40.00	= <u>160.00</u>	
Multiple Dependent =									
**Or number previously paid, if greater; For Reissues, see below. Large Entity Small Entity									
	Entity Fee	Small E	<u>Entity</u> Fee						
Fee Code		ree Code	ree (\$)	Fee Descrip	ition				
103	18	203	9	Claims in ex					
102	80	202	40		t claims in excess of 3				
104	270	204	135		pendent claim, if not paid				
109	80	209	40		dependent claims over o				
110	18	210	9	""Keissue C	laims in excess of 20 and	over or	iginai paten	τ	
						SU	BTOTAL (2)	\$_259.00	
FEE CALCULATION (continued)									

01/25/01

3.	ADDITIO	NAL FEE	S			
Large Entity Small E		ntity				
Fee	Fee	Fee	Fee			
Code	(\$)	Code	(\$)	Fee Description Fee Paid		
105	130	205	65	Surcharge - late filing fee or oath		
127	50	227	25	Surcharge - late provisional filing fee or cover sheet		
139	130	139	130	Non-English specification		
147	2,520	147	2,520	For filing a request for ex parte reexamination		
112	2,520 920*	112	920*	Requesting publication of SIR prior to		
112	920	112	920	Examiner action		
113	1,840*	113	1,840*	Requesting publication of SIR after		
	440	04-		Examiner action		
115	110	215	55	Extension for reply within first month		
116	390	216	195	Extension for reply within second month		
117	890	217	445	Extension for reply within third month		
118	1,390	218	695	Extension for reply within fourth month		
128	1,890	228	945	Extension for reply within fifth month		
119	310	219	155	Notice of Appeal		
120	310	220	155	Filing a brief in support of an appeal		
121	270	221	135	Request for oral hearing		
138	1,510	138	1,510	Petition to institute a public use proceeding		
140	110	240	55	Petition to revive – unavoidable		
141	1,240	241	620	Petition to revive - unintentional		
142	1,240	242	620	Utility issue fee (or reissue)		
143	440	243	220	Design issue fee		
144	600	244	300	Plant issue fee		
122	130	122	130	Petitions to the Commissioner		
123	50	123	50 400	Processing fee under 37 CFR 1.17(q)		
126	180	126	180	Submission of Information Disclosure Stmt		
581	40	581	40	Recording each patent assignment per property (times number of properties) 40.00 40.00		
446	710	246	355	property (times number of properties) 40.00 For filing a submission after final rejection		
146	710	240	333	(see 37 CFR 1.129(a))		
149	710	249	355	For each additional invention to be examined		
143	710	243	333	(see 37 CFR 1.129(b))		
179	710	279	355	Request for Continued Examination (RCE)		
169	900	169	900	Request for expedited examination of a design		
.00	555	100	000	application		
195	300	195	300	Publication fee for early, voluntary, or normal		
	000			publication		
196	300	196	300	Publication fee for republication		
194	130	194	130	Request for voluntary publication or republication		
098	130	098	130	Processing fee under 37 CFR 1.17(i)		
091	1,240	091	1,240	Acceptance of unintentionally delayed claim for priority		
Other fee (specify)						
Other fee (specify)						
*Reduced by Basic Filing Fee Paid						
SUBMITTED BY:						
	Typed or Printed Name: Chun M. Ng					
	ature:			Date: 9/18/01		
	Number:	36,878		Telephone Number: (206) 292-8600		
<u> </u>						

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Our Reference: 005819.P001 Patent

SEMICONDUCTOR MEMORY CELL AND MEMORY ARRAY USING A BREAKDOWN PHENOMENA IN AN ULTRA-THIN DIELECTRIC

Inventors: Jack Zezhong Peng

Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP

Chun M. Ng Reg. No. 36,878

"Express Mail" mailing label number: <u>EL861981768US</u>
Date of Deposit: <u>September 18, 2001</u>
I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Sharon Farnus

(Typed or printed name of person mailing paper or fee)
(Signature of person mailing paper or fee)
(Date signed)

Serial/Patent No.: New Application	Filing/Issue Date: Herewith					
Client: Kilopass Technologies	, Inc.					
Title: SEMICONDUCTOR MEMORY	CELL AND MEMORY ADDAY HOTHE A DREAKDOWN					
PHENOMENA IN AN ULTRA-	-THIN DIELECTRIC					
BSTZ File No.: 5819.P001	Atty/Secty Initials: CMN:sef					
Date Mailed: 9-18-01						
	Docket Due Date: *** atent & Trademark Office on the date stamped hereon:					
Amendment/Response (pgs.)						
Appeal Brief (pgs.) (in triplicate)	Express Mail No.: EL861981768US Check No. 1640					
Application - Utility (Month(s) Extension of Time Amt: \$\$654.00					
Application - Othery (Sort) Figs., with cover and abstract)	Information Disclosure Statement & PTO 1449 (4 pgs.) Check No					
Application - Rule 1.53(b) Continuation (pgs.)	Issue Fee Transmittal Amt:					
Application - Rule 1.53(b) Divisional (pgs.)	Notice of Appeal					
Application - Rule 1.53(b) CIP (pgs.)	Petition for Extension of Time					
Application - Rule 1.53(d) CPA Transmittal (pgs.)	Petition for					
Application - Design (pgs.)	Postcard					
Application - PCT (pgs.)	Power of Attorney (pgs.)					
Application - Provisional (pgs.)	Preliminary Amendment (pgs.)					
Assignment and Cover Sheet	Reply Brief (pgs.)					
Certificate of Mailing	Response to Notice of Missing Parts					
Declaration & POA (4 pgs.)						
Disclosure Does & Oig & Copy of Inventor's Signed Letter (pgs)	Small Entity Declaration for Indep. Inventor/Small Business					
Drawings: 15# of sheets includes 16 figures	Transmittal Letter, in duplicate					
inguies inguies	Fee Transmittal, in duplicate					
■ Other: *Certificate of mailing with copy of return						
Other: *Certificate of mailing with copy of return postcard signed by attorney						
*Copies of (5) cited references						